

12 Sep 2006

Express Mail Label No. EV 325 823 385 US Attorney Docket No. 38797-8003.US00 (500/002)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
APPLICATION OF: Harley *et al.*

SERIAL NO.: 10/563,533

I.A. FILING DATE: 06/25/2004

FOR: **FORMULATIONS CONTAINING ASTRAGALUS  
EXTRACTS AND USES THEREOF**

EXAMINER: unassigned

ART UNIT: unassigned

CONFIRMATION NO. 8436

**Petition under 37 CFR §1.47(a)**

Applicants hereby petition, under 37 CFR §1.47(a), to make the present application on behalf of themselves and the nonsigning inventor, David M. Miller-Martini, who has refused to join in the application. Provided herein, in accordance with this section, are proof of the pertinent facts, the last known address of the nonsigning inventor, and the petition fee of \$200.00.

09/18/2006 LLANDGRA 00000035 10563533

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200.00 OP

**Statement of Facts**

I, the undersigned, am the agent of record in the above-referenced application. The following describes, to the best of my knowledge, the facts relied on to establish that Dr. David M. Miller-Martini has refused to sign the application papers (Declaration of Inventorship) in this application.

Dr. Miller-Martini is one of five co-inventors of the subject application.

Dr. Miller-Martini was an employee of Hong Kong University of Science and Technology (HKUST) when he worked on the subject invention, and in accordance with the requirements of his conditions of employment, and Hong Kong law, assigned to HKUST the entire right, title and interest in the inventions set forth in provisional application USSN 60/483,372, to which the above-referenced application claims priority, and any patents "granted thereon and therefor". The assignment, attached hereto as Exhibit A), was executed by Dr. Miller-Martini on October 9, 2003.

Dr. Miller-Martini subsequently left his employment at HKUST. His most recent known address is 409 Pine St., Ridgway PA 15853.

The Notice to File Missing Parts in the above-referenced application was received in the offices of Perkins Coie, LLP on April 21, 2006. Documents to be signed by each inventor, including the Declaration of Inventorship, were prepared at Perkins Coie and sent to Geron Corporation, assignee of the application, on May 31, 2006. A copy of Perkins Coie's cover letter is enclosed as Exhibit B.

The documents were then forwarded by Geron to Mr. Tony Eastham, President and CEO of HKUST, for presenting to the inventors. A copy of Geron's cover letter is enclosed as Exhibit C. Note that the letter emphasizes that the inventor is to sign the Declaration only after having read a copy of the subject application.

On July 11, 2006, I received an email (Exhibit D) from a Ms. Kathleen Geubelle, addressed to me and copied to Dr. Miller-Martini. The email stated that Dr. Miller-Martini had "several concerns" regarding the applications (the above-referenced application and two copending applications) and more specifically stated that "his three concerns pertain to an incorrect reference to his citizenship, current address, and order of inventors listed in the applications". I was asked to contact Dr. Miller-Martini's legal counsel, Mr. David Pontzer, regarding these matters.

(This email refers to the applications that Dr. Miller-Martini "received from HKUST", further establishing that the inventor was presented with a copy of the subject application.)

I subsequently left a message with Mr. Pontzer as instructed, but I did not receive a reply. On August 14, 2006, I sent a reply email (Exhibit E) to Ms. Geubelle, copying Dr. Miller-Martini and Dr. David Earp, chief patent counsel at Geron Corporation. In this email I pointed out that the concerns stated above should not be very difficult to resolve.

On August 17, 2006, Dr. Miller-Martini sent a reply email (Exhibit F) addressed to me and copied to Dr. Earp and Dr. Miller-Martini's legal counsel. Dr. Miller-Martini declined to execute the Declaration of Inventorship, stating that "execution of these documents will only occur 'subsequent' to your client [Geron Corp.] and their joint venture partner [HKUST] having obtained an appropriate license to my rights and interests in these drug molecules/fractions/formulations." A later email (Exhibit G) from Dr. Miller-Martini similarly stated that he would execute the documents if "in so doing I do not forfeit my rights and interests in these inventions".

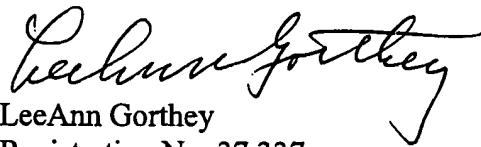
Dr. Miller-Martini's contention that he retains "rights and interests in these inventions" is consistent with the position taken in his letter to the Chairman of HKUST, dated June 16, 2006 (Exhibit H). In that letter he not only asserted these rights and interests but also suggested that he would disclose claimed subject matter (and other confidential information) to "third party competitors" if no license were negotiated between himself and HKUST.

In view of the above, (1) Dr. Miller-Martini has assigned any rights he had in this application to his former employer, HKUST (see assignment, Exhibit A), in accordance with his legal obligations; and (2) Dr. Miller-Martini's stated conditions for executing the application papers (requiring HKUST to negotiate a license) constitute a refusal to execute the application papers.

Conclusion

The applicants submit that this petition complies with the requirements of 37 CFR §1.47(a) and MPEP §409.03(d), and gives documented evidence that the application papers were duly presented to the inventor, and that the inventor refused to sign the application papers.

Respectfully submitted,

  
LeeAnn Gorthey  
Registration No. 37,337

**Correspondence Address:**

PAYOR NUMBER 22918

Telephone: (503) 727-2116

## ASSIGNMENT

Whereas we, Nancy Yuk-yu Ip, Yung-hou Wong, David M. Miller-Martini

executed employment agreements with HONG KONG UNIVERSITY OF SCIENCE AND TECHNOLOGY (hereinafter called HKUST), having a principal place of business at Clear Water Bay, Kowloon, Hong Kong, whereby we have agreed to assign to HKUST all inventions (except as otherwise limited by law) which relate to HKUST business and which were first conceived or actually reduced to practice during our employment by HKUST;

Now, therefor, pursuant to the terms of said employment agreements and for good and valuable consideration, receipt of which is hereby acknowledged, we do hereby sell, assign and transfer unto HKUST, its successors and assigns, the entire right, title and interest, including the right of priority in, to and under a provisional application for Patent of the United States entitled:

## FORMULATIONS CONTAINING ASTRAGALUS EXTRACTS AND USES THEREOF

Serial No. 60/483,372 filed on 27 June 2003 and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, we agree promptly upon request of HKUST, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to HKUST, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me in lending such cooperation and assistance are paid by HKUST.

In witness whereof, we hereunto set our hands and seal:

Inventor's  
Signature:

Nancy Ip \_\_\_\_\_ Date: Oct 9, 2003  
Nancy Yuk-yu Ip

Inventor's  
Signature:

Yung-hou Wong \_\_\_\_\_ Date: Oct 9, 2003  
Yung-hou Wong

Inventor's  
Signature:

David M. Miller-Martini \_\_\_\_\_ Date: Oct 9, 2003  
David M. Miller-Martini

LeeAnn Gorthey, Ph.D.  
650 838-4403  
gort@perkinscoie.com



May 31, 2006

101 Jefferson Drive  
Menlo Park, CA 94025-1114  
PHONE: 650.838.4300  
FAX: 650.838.4350  
[www.perkinscoie.com](http://www.perkinscoie.com)

David J. Earp, J.D., Ph.D.  
Geron Corporation  
230 Constitution Drive  
Menlo Park, CA 94025

Re: U.S. Patent Application No. 10/563,533 filed December 23, 2005  
for FORMULATIONS CONTAINING ASTRAGALUS EXTRACTS AND  
USES THEREOF  
by Harley *et al.*  
Our Reference: 38797-8003.US00

Dear David:

We have received a Notification of Missing Requirements, which requires the filing of an executed Declaration by the inventors and the payment of the surcharge for late filing of the declaration. We should also submit an executed Assignment and a Power of Attorney by Assignee and Exclusion of Inventors when we respond to this notice.

Enclosed for signature by inventors: Calvin B. Harley, Allison C. Chin, Nancy Yuk-yu Ip, Yung-hou Wong, and David M. Miller-Martini, are an Inventor Declaration and an Assignment. Also enclosed for signature by an appropriate representative of Geron is a Power of Attorney.

**I. For signature by the inventors:**

**INVENTOR DECLARATION:** The inventors should sign and date on the appropriate lines after reading a copy of the application as filed on December 23, 2005, a copy of which was forwarded to you on January 3, 2006. The signatures need not be witnessed or notarized. The inventors should also check all personal data for accuracy. If there are any errors (e.g., spelling of the inventor's name), the inventor should make any necessary corrections AND INITIAL AND DATE THEM.

ASSIGNMENT: The inventors should sign and date on the appropriate lines.

**II. For signature on behalf of Geron Corporation:**

POWER OF ATTORNEY BY ASSIGNEE: Please sign and date where indicated. Note that the date of this document should not be earlier than the date of signature of the inventors signing the Assignment. No notarization or witnessing is required.

The due-date for response is **June 13, 2006**. Therefore, please expedite completion and return of the documents to us before the actual due date.

Thank you for your assistance in this matter. If you have any questions, please give me a call.

Very truly yours,



LeeAnn Gorthey, Ph.D.

LAG/lbk  
Encs.

June 15, 2006  
By Courier

Exhibit C

GERON IP GROUP

JUN 16 2006

DOCKETED

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www.geron.com

Professor Tony R. Eastham  
President/Chief Executive Officer  
HONG KONG UNIVERSITY OF SCIENCE AND TECHNOLOGY  
R AND D CORPORATION LIMITED  
Clear Water Bay  
Kowloon, Hong Kong

Re:	Application Serial No.	Title	Geron Docket No.	Date Filed
	10/563,533	FORMULATIONS CONTAINING ASTRAGALUS EXTRACTS AND USES THEREOF	500/002	
	10/562,374	COMPOSITIONS AND METHODS FOR INCREASING TELOMERASE ACTIVITY	510/002	December 23, 2005
	10/562,410	COMPOSITIONS AND METHODS FOR SKIN CONDITIONING	511/002	

Dear Mr. Eastham:

We have received a Notification of Missing Requirements from the U.S. Patent & Trademark Office, which requires the filing of an executed Declaration by the inventors for each of the above-referenced U.S. National Stage patent applications. These applications were addressed in David Earp's letter to you of November 9, 2005.

I have provided you with a copy of each of the PCT applications as published, a copy of any amendments made while in the International Stage, and a copy of the Preliminary Amendment filed as they entered the U.S. National Stage.

Enclosed for signature by inventors Nancy Yuk-yu Ip, Yung-hou Wong, and David M. Miller-Martini is an Inventor Declaration for each of the above-referenced applications. The inventors should sign and date each document on the appropriate lines after reading a copy of the applications as filed on December 23, 2005. The signatures need not be witnessed or notarized. The inventors should also check all personal data for accuracy. If there are any errors (e.g., spelling of the inventor's name), the inventor should make any necessary corrections AND INITIAL AND DATE THEM.

The due-date for response is July 10, 2006. Therefore, please expedite completion and return the Declarations to us before the actual due date.

Professor Tony R. Eastham  
June 15, 2006  
Page 2 of 2

Thank you for helping us comply with these formalities. If you have any questions about this letter or the enclosed documents, please call.

Sincerely,

*Karen Zielen*

Karen Zielen (Mrs.)  
Patent Secretary

geron

Enclosures

## Exhibit D

**Gorhey, LeeAnn (Perkins Coie)**

**From:** Beechbum145@aol.com  
**Sent:** Tuesday, July 11, 2006 9:19 AM  
**To:** Gorhey, LeeAnn (Perkins Coie)  
**Cc:** martinid@alltel.net  
**Subject:** PCT Applications (Geron/HKUST)

Dear Ms. Gorhey,

I attempted to contact you yesterday at the Perkins Coie office in Menlo Park and received your voice mail that you have relocated.

I am relaying a message from Dr. Miller-Martini pertaining to the three PTC applications that he received from HKUST. At this time, Dr. Miller-Martini is out of town and has forwarded these applications to his attorney, Mr. David Pontzer of the Law Offices of Pontzer and Pontzer. He has indicated to his attorney several concerns he has regarding these applications and Mr. Pontzer is preparing a response.

Dr. Miller-Martini has requested that I contact you in the event you have not yet heard from Mr. Pontzer to indicate that the matter is being addressed. He has requested that you directly contact Mr. Pontzer at 814.773.3108 with any questions or pending deadlines.

In general, his three concerns pertain to an incorrect reference to his citizenship, current address, and order of inventors listed in the applications.

Regards,  
Kathleen Geubelle, EO

## Exhibit E

**Gorhey, LeeAnn (Perkins Coie)**

**From:** Gorhey, LeeAnn (Perkins Coie)  
**Sent:** Monday, August 14, 2006 9:59 AM  
**To:** 'Beechbum145@aol.com'  
**Cc:** martinid@alltel.net; Kennelly, Lynnea (Perkins Coie); 'dearp@geron.com'  
**Subject:** RE: PCT Applications (Geron/HKUST)

Dear Ms. Geubelle,

Further to your email of July 11th, I left a message with Mr. Pontzer last Monday but have not received a reply. I will be going out of town shortly, returning the end of next week. I wanted to see if we could get this cleared up without too much further delay, since it does not sound like the issues are that complicated.

Your email indicated that Dr. Miller-Martini's concerns are "an incorrect reference to his citizenship, current address, and order of inventors listed in the applications". The first two would be no trouble at all to correct as long as we have the correct information. This could be forwarded to my secretary, Lynn Kennelly (lkennelly@perkinscoie.com) with a copy to me. (Alternatively, the inventor can simply make the necessary changes by hand, and date and initial them.)

The order of inventorship is a little less straightforward, since it is sometimes a touchy subject. Please note that the order of inventorship has \*no\* legal significance. That said, it can still have significance to the inventors. If you could give me some more specific idea of what the issues are here, I would appreciate it. (e.g. Does Dr. Miller-Martini wish to be listed first? If so, does he have a feeling as to whether the other inventors are likely to object to this?)

We're currently on a two month extension for two of the applications (if filed by September 8th) and a three month extension for the third (if filed by September 13th). The fees increase with time, and extensions longer than five months are not permitted. Since we will have to get fresh signatures for all the inventors if the order on the declaration is changed, we would like to get this moving if that is the case.

Thanks very much,

LeeAnn Gorhey

LeeAnn Gorhey, Ph.D.  
Patent Agent  
Perkins Coie LLP  
(503) 727-2116 office  
(503) 235-2128 home  
(408) 636-3084 cell  
[Lgorhey@perkinscoie.com](mailto:Lgorhey@perkinscoie.com)

-----Original Message-----

**From:** Beechbum145@aol.com [mailto:[Beechbum145@aol.com](mailto:Beechbum145@aol.com)]  
**Sent:** Tuesday, July 11, 2006 9:19 AM  
**To:** Gorhey, LeeAnn (Perkins Coie)  
**Cc:** martinid@alltel.net  
**Subject:** PCT Applications (Geron/HKUST)

Dear Ms. Gorhey,

I attempted to contact you yesterday at the Perkins Coie office in Menlo Park and received your voice

**From:** David Miller-Martini [martinid@windstream.net]  
**Sent:** Thursday, August 17, 2006 10:11 AM  
**To:** Gorthey, LeeAnn (Perkins Coie)  
**Cc:** Kennelly, Lynnea (Perkins Coie); dearp@geron.com; gwood@webblaw.com  
**Subject:** Re: RE: PCT Applications (Geron/HKUST)

Dear Ms. Gorthey:

In response to your email regarding the issues pertaining to the three PCT applications, please be advised that there are a number of other outstanding issues complicating the execution of these documents.

To hopefully help expedite the execution of the three applications in due course; I would kindly request that your firm readies the applications with the following corrections:

Address correction: 409 Pine St., Ridgway, PA 15853  
Citizenship correction: United States of America  
Inventorship Correction: First position

Furthermore, execution of these documents will only occur 'subsequent' to your client and their joint venture partner having obtained an appropriate license to my rights and interests in these drug molecules/fractions/formulations.

I will further require evidence to these corrections on the three pending patent applications that have already been submitted to the USPTO for review and that are related to said PTC applications. Given that the provisional patent applications filed in June 2003 have all since been abandoned, I would also like to request copies of the "Combined Declaration and Power of Attorney" and "Assignment" documents (along with copies of the corresponding patent applications), which I executed for the new patent applications that were filed in December 2005.

Additionally, please be advised that I have retained new legal counsel in order to continue efforts to legally establish my ownership claims in the recently submitted patent applications related to "telomerase activators."

I extend my apology for the slow replies, or lack thereof, in responding to your past communications via my previous legal counsel. However, I can assure you that The Webb Law Firm will assist me in a more timely and professional manner in addressing any outstanding issues on the subject.

In this regard please redirect any further correspondence on this matter to:

Gwendolyn R. Wood, Ph.D.  
The Webb Law Firm  
700 Koppers Building  
436 Seventh Avenue  
Pittsburgh, PA 15219

Telephone: 412-471-8815  
FAX: 412-471-4094

Kind regards,  
David M. Miller-Martini, Ph.D., MBA

+++++

> From: "Gorthey, LeeAnn \Perkins Coie\" <LGorthey@perkinscoie.com>  
> Date: 2006/08/14 Mon PM 12:59:09 EDT  
> To: <Beechbum145@aol.com>  
> CC: <martinid@alltel.net>,  
> "Kennelly, Lynnea \Perkins Coie\" <LKennelly@perkinscoie.com>,

**From:** David Miller-Martini [martinid@windstream.net]  
**Sent:** Monday, August 28, 2006 12:09 PM  
**To:** Gorthey, LeeAnn (Perkins Coie)  
**Cc:** Kennelly, Lynnea (Perkins Coie); dearp@geron.com; pontzerlaw@adelphia.net  
**Subject:** Re: RE: PCT Applications (Geron/HKUST)

Dear Ms. Gorthey:

At this time, please be advised that The Law Offices of Pontzer & Ponzter will resume handling this case on my behalf until further notice. Also the Webb Law Firm as previously indicated has been retained for their Patent expertise.

Further to your email of August 14, 2006, please be informed that I'm currently seeking legal counsel on the matter from several sources and should it be in my best interest to sign the three PCT Application, and in so doing I do not forfeit my rights and interests in these inventions, I will be happy to execute the three applications with the indicated corrections.

Mr. David Ponzter will be contacting your office in due course in response to your email pertaining to the three PCT applications.

Kind regards, David M. Miller-Martini

> From: "Gorthey, LeeAnn \Perkins Coie\" <LGorthey@perkinscoie.com>  
> Date: 2006/08/14 Mon PM 12:59:09 EDT  
> To: <Beechbum145@aol.com>  
> CC: <martinid@alltel.net>,  
> "Kennelly, Lynnea \Perkins Coie\" <LKennelly@perkinscoie.com>,  
> <dearp@geron.com>  
> Subject: RE: PCT Applications (Geron/HKUST)  
>  
>  
> Dear Ms. Geubelle,  
>  
>  
> Further to your email of July 11th, I left a message with Mr. Pontzer  
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> This could be forwarded to my secretary, Lynn Kennelly  
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> inventor can simply make the necessary changes by hand, and date and  
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> The order of inventorship is a little less straightforward, since it is  
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> has \*no\* legal significance. That said, it can still have significance  
> to the inventors. If you could give me some more specific idea of what  
> the issues are here, I would appreciate it. (e.g. Does Dr.  
> Miller-Martini wish to be listed first? If so, does he have a feeling  
> as to whether the other inventors are likely to object to this?)  
>

June 16, 2006

Dr. John C. Chan, GBS, JP  
Council Chairman  
Hong Kong University of Science and Technology  
Clearwater Bay Rd.  
Kowloon, Hong Kong SAR China

Date of the accident  
29 JUN 2006

Dear Dr. Chan:

Instead of my solicitor drafting and posting a more impersonal letter, I wanted to extend a professional courtesy to you by drafting this original letter myself. It is my hope that the letter will make clear my position and intentions with respect to my rights and interests in the "telomerase activators", which might be considered a misnomer given that their molecular target(s) are well upstream of telomerase. As you know, these small molecule compounds are currently being developed under a joint venture between the Biotechnology Research Corporation and Geron.

As you should also know, it was primarily through my efforts that the groundwork was laid for initiating the discovery program with Geron that focused on the screening of 50 TCMs for materials possessing biological activities that were capable of increasing telomerase activity in cultured keratinocytes. Moreover, I also played a key role in selecting and screening the materials, as well as identifying the active metabolite in *Astragalus membranaceus* (namely, astragaloside IV; formerly known as GRN-951) that possesses significant telomerase up-regulating potential. An aglycone of this compound (formerly GRN-665) is currently regarded as the lead candidate in the HIV/AIDS program. In this light, I am included as one of the inventors on several patent filings associated with these molecules and active fractions. Additionally, there were a number of other TCMs included in the original 50 herbal medicines that likewise possessed biological activities that resulted in the up-regulation of telomerase. I also screened several other semi-pure fractions and single entity compounds (the identities of which I will not disclose at this time) that were not included in the original group of 50 TCMs since they were known to simulate the ERK signaling pathway, and they too resulted in the substantial up-regulation of telomerase activity. With respect to the collection of "telomerase activator" materials as a whole, please note that I currently maintain certain rights and interests in their commercial development.

Although I had engaged in various conversations with a number of the Senior Administrators at HKUST regarding the transfer of my rights and interests to these materials under specified terms and conditions, they never came to fruition. Furthermore, I have not signed any agreements or contracts to the contrary. Review of my personnel file from November 1997 through June 2005, will show a series of employment contracts which designated my employment status as a "non-regular appointment." Further review of the terms and conditions of my employment will show that I was not then, or now,

being held to any terms or conditions of confidentiality, non-compete, or publication restrictions, nor is there any stipulation in these contracts regarding assignment of any IPR that I may be associated with to the University.

At this juncture, I wish to provide the University with the first right of refusal to my rights and interests in said IP. I will provide you 45 days from the date of this letter to indicate your interest in negotiating a license. Thereafter, I will make full disclosure of these materials in efforts to negotiate several non-executive licenses with a number of third party competitors interested in commercializing various aspects of these small molecules and crude/semi-crude fractions.

Please direct all correspondence pertaining to this matter to Mr. David Pontzer, Esq. at the Law Offices of Pontzer & Pontzer. His contact information is as follows: 220 Center Street, Ridgway, PA 15853; telephone 814-773-3108.

Sincerely,



David M. Miller-Martini, Ph.D, MBA

DMM-M/rgm

c.c. Mr. David Pontzer, Esq., The Law Offices of Pontzer & Pontzer  
~~Professor Paul Ching-Wu Chan, President, HKUST~~  
The Honourable Ronald Arculli, GBS, JP, Chairman, Board of Stewards, HKJC  
Dr. Thomas Okarma, CEO and Director, Geron  
Mr. Noel Patton, President, Asia Biotechnology Corporation